



Work Instruction (WI)

DIRECTIVE NO. 271-WI-1440.8.1
EFFECTIVE DATE: June 29, 2010
EXPIRATION DATE: June 29, 2015

APPROVED BY Signature: Original signed by
NAME: Victor Kerns
TITLE: Acting Branch Head

COMPLIANCE IS MANDATORY

Responsible Office: 271/Technical Information and Management Services Branch

Title: Records Management

PREFACE

P.1 PURPOSE

This work instruction outlines the requirements and procedures for processing the transfer, retrieval, and final disposition of records maintained in off-site storage at the Washington National Records Center (WNRC); and the creation, control, maintenance, use, and disposition of the internal records that support the Code 271 Center Records Management Program office.

P.2 APPLICABILITY

This work instruction applies to the Center Records Management Program office Records Specialist.

P.3 REFERENCES

Title 44 U.S. Code, Chapters 31 and 33
36 CFR 1220 through 1239, covers Federal Agency's Records Management programs
NPD 1440.6, NASA Records Management
NPR 1441.1, NASA Records Retention Schedules
GPR 1440.8, Records Management

P.4 CANCELLATION

None

P.5 TOOLS, EQUIPMENT, AND MATERIALS

SF 135, Records Transmittal and Receipt
SF 258, Agreement to Transfer Records to the National Archives of the United States
NA Form 13001, Notice of Eligibility for Disposal
GSFC Form 22-41, GSFC Records Transfer
GSFC Form 22-70, Request to Temporarily Withdraw Records
GSFC Form 22-70, Request to Permanently Withdraw Records
270-Form-0006, Transportation Pick-up Ticket

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270-Form-0106, Records Destruction Review and Authorization
270-Form-0131, NARA Transfer Review and Authorization
Archives and Records Centers Information System (ARCIS)
GSFC Records Management spreadsheets/database

P.6 SAFETY PRECAUTIONS AND WARNINGS

- a. To avoid injury to hands and fingers, wear surgical gloves and inspect file cabinet drawers and doors for damage prior to use.
- b. Avoid tripping hazards by ensuring file cabinet drawers and doors are closed after use.
- c. When handling older records, use a mask to reduce exposure to dust and other allergens.

P.7 TRAINING

The Center Records Manager shall provide on-the-job training to the Records Specialist as appropriate. When necessary, the Center Records Manager may recommend additional training be provided by NARA or other external sources.

P.8 RECORDS

Record Title	Record Custodian	Retention
Records Management Case Files (SF 135, Records Transmittal and Receipt; GSFC 22-41, GSFC Records Transfer; SF 258, Agreement to Transfer Records to the National Archives of the United States; NA 13001, GSFC 22-70, GSFC 22-73, 270-Form-0106, 270-Form-0131)	Records Specialist	*NRRS 1/75A1(b) Retain on-site and destroy when no longer needed for reference or when 75 years old, whichever is longer
Records Management Locator Files (spreadsheets/database)	Records Specialist	*NRRS 1/75E Destroy File plans/indexes when superseded. Destroy lists (shipping/transfer) when records thereon have been destroyed, or when the list is no longer needed for reference.

* NRRS – NASA Records Retention Schedule ([NPR 1441.1](#))

P.9 MEASUREMENT/VERIFICATION

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- a. All records transactions shall be logged into the appropriate spreadsheet/database and tracked to completion.
- b. The Records Specialist shall provide the Center Records Manager with a monthly statistical report that totals the number of transfers with volume, the number of disposals with volume, and the number of retrievals/returns for the month.

Instructions

In this document, a requirement is identified by “shall,” a good practice by “should,” permission by “may” or “can,” expectation by “will,” and descriptive material by “is.”

1. Records Transfers

1.1. The Records Specialist shall provide the Center Records Manager with a completed SF 135, Records Transmittal and Receipt form within 5 days of receiving a GSFC 22-41, Records Transfer Request form.

1.2. Routine transfers to Washington National Records Center

1.2.1. Upon receiving a records transfer request, the Records Specialist shall:

- a. Provide the customer with a customer routing number (CRN);
- b. Log the request into the records transfer tracking spreadsheet/database;
- c. Instruct the customer to complete a GSFC Form 22-41

1.2.2. Upon receiving the completed GSFC Form 22-41 from the customer, the Records Specialist shall:

- a. Review the form for accuracy and coordinate corrections with the customer as necessary
- b. Fill out an SF 135, Records Transmittal and Receipt based on the information provided in the GSFC Form 22-41
- c. Route the SF 135 and GSFC Form 22-41 to the Center Records Manager for approval signature

1.2.3. Once approved by the Center Records Manager, the Records Specialist shall scan the SF 135, GSFC 22-41 and any additional indexes and email the scanned package to the WNRC Central Processing office at suitland.transfer@nara.gov for final approval/transfer number assignment.

1.2.4. Upon receiving the finalized SF135 the Records Specialist shall:

- a. Log the transfer number in the transfer tracking spreadsheet/database
- b. Fill out a 270-Form-0006 and fax it to the transportation office
- c. Create a folder and file the case file in the active section of the central files

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1.3. Annual Transfer to the National Archives and Records Administration

1.3.1. Upon receiving the annual transfer packet, the Records Specialist shall:

- a. Log each transfer accession into the transfer tracking spreadsheet/database
- b. Check-out the case file(s), make a copy of the SF-135 and GSFC 22-41 for the owning organization's review and re-file the folder in the central files
- c. Complete a 270-Form-0131 for each accession
- d. Prepare a cover letter to each Directorate RLO with involvement for the Center Records Manager's signature
- e. Build packet for the Directorate RLO to include the cover letter and all 270-Form-131 with the associated case file copies
- f. Suspend the packet and give to the Center Records Manager for signature
- g. Once signed forward the packet to the Directorate RLO and track for return; follow-up with customer as appropriate

1.3.2. Upon receiving an approved 270-Form-0131, the Records Specialist shall:

- a. Log the approval into the transfer tracking spreadsheet/database
- b. Check-out the case file(s) and stamp the SF135 "APPROVED FOR TRANSFER" and date
- c. Provide the case file and the approval package to the Center Records Manager for final processing

1.3.3. Upon receiving a disapproved 270-Form-0131, the Records Specialist shall:

- a. Log the disapproval into the transfer tracking spreadsheet/database
- b. Check-out the case file(s) and annotate the SF135 with the new transfer date indicated on the 270-Form-0131
- c. Re-file the case file in the active section of the central files and provide the disapproval to the Center Records Manager

2. Record Retrievals and Returns

2.1. The Records Specialist shall process routine records retrieval requests within 2 days of receipt for delivery on the next available transportation date; rush requests shall be processed the same day received and delivered within 3 workdays.

2.2. Temporary Record Retrievals

2.2.1. Log the GSFC Form 22-70 into the retrieval tracking spreadsheet/database
Complete a retrieval request in the ARCIS database

2.2.2. Suspend the GSFC 22-70 for 60 days and file in the suspense folder

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2.2.3. Complete a 270-Form-0006 and fax to the Transportation office

2.2.4. Track for return and follow-up with the customer as necessary for returns and/or extensions

2.3. Permanent Record Retrievals

2.3.1. Log the GSFC Form 22-73, Request to Permanently Withdraw Records into the retrieval tracking spreadsheet/database, mark as “permanent withdrawal”

2.3.2. Provide the request to the Center Records Manager for review/approval

2.3.3. Once approved, complete a request to permanently withdraw the records in the ARCIS database

2.3.4. Complete a 270-Form-0006 and fax to the Transportation office

2.3.5. Pull the case file from the active records section of the central files and annotate the SF135 with “Permanently Withdrawn”, date and sign

2.3.6. Attach the GSFC Form 22-73 to the SF 135 and file the case file in the permanently withdrawn section of the central files

2.4. Record Returns

Upon receiving a request to return records to the WNRC, the Records Specialist shall:

2.4.1. Log the return into the retrieval tracking spreadsheet/database

2.4.2. Advise the customer of the next pick-up date by transportation

2.4.3. Complete a 270-Form-0006 and fax to the Transportation office

3. Record Disposals

3.1. The Records Specialist shall process and send initial quarterly disposal notices to the customer within 10 days of receipt and process final response to the Washington National Records Center (WNRC) within 60 days of initial notification.

3.2. The Records Specialist shall process and send initial annual disposal notices to the customer within 30 days of receipt and process final response to the Washington National Records Center (WNRC) within 6 months of initial notification.

3.3. Upon receiving a NA Form 13001, Notice of Eligibility for Disposal, the Records Specialist shall:

3.3.1. Log each disposal notice into the disposal tracking spreadsheet/database

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3.3.2. Check-out the case file(s), make a copy of the SF-135 and GSFC 22-41 for the owning organization's review; file the NA Form 13001 in the case file and re-file the folder in the central files

3.3.3. Complete a 270-Form-0106, Records Destruction Review and Authorization for each accession

3.3.4. Prepare a cover letter to each Directorate RLO with involvement for the Center Records Manager's signature

3.3.5. Build packet to include the cover letter, all 270-Form-106 with the associated case file copies for the Directorate RLO

3.3.6. Suspend the packet and give to the Center Records Manager for signature

3.3.7. Once signed forward the packet to the Directorate RLO and track for return; follow-up with customer as appropriate

3.4. Upon receiving an approved 270-Form-0106, the Records Specialist shall:

3.4.1. Log the approval into the transfer tracking spreadsheet/database

3.4.2. Check-out the case file(s) and stamp the SF135 "APPROVED FOR DISPOSAL" and date

3.4.3. Provide the case file and the approval package to the Center Records Manager for signature

3.4.4. Once signed, make a copy of the signed NA-13001 and forward the original to WNRC

3.4.5. File the copy of the signed NA-13001 in the case file and re-file the case file in the disposal section of the central files behind the appropriate year group

3.5. Upon receiving a disapproved 270-Form-106, the Records Specialist shall:

3.5.1. Pull the suspense and destroy; log the disapproval into the transfer tracking spreadsheet/database

3.5.2. Check-out the case file(s), file the disapproved 270-Form-0106 in the case file(s), and make the appropriate annotations to the SF-135 (new disposal date or change retention to Permanent)

3.5.3. Provide the case file and the disapproval package to the Center Records Manager for signature

3.5.4. Once signed, make a copy of the signed NA-13001 and forward the original to WNRC

3.5.5. File the copy of the signed NA-13001 in the case file and re-file the case file in the active section of the central files

4. Files Maintenance and Use

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4.1. All copies of case file documentation (SF 135, GSFC 22-41, etc.) shall be stamped with the word "COPY".

4.2. Annotations (changing disposal date or the cited retention schedule) to case file documentation (SF 135, GSFC 22-41, etc.) shall be accomplished by placing a single line through the text being edited, printing the correction, initialing, and dating the annotation using a black or blue ink pen.

4.3. Each time a case file is removed from the central files, it shall be logged out on a check-out card.

4.4. Records case files shall be maintained in the central files, and filed in numerical sequence by the accession number.

4.5. Active and inactive records shall be maintained separately within the central files.

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Appendix A – Definitions

- A.1. Accession – the process of transferring physical custody of records to an archival institution.
- A.2. Active Record – a record needed to perform current operations, subject to frequent use, and usually located near the user.
- A.3. Annotation – a note added or changed made to an original record
- A.4. Case File – a file containing standardized contents relating to a specific action event, person, place, project, or subject.
- A.5. Central files – the files of one or more organizational units stored in one physical location to improve their management and control.
- A.6. Check-out – a control procedure designed to identify the current location of a record that has been removed from its assigned location.
- A.7. Closed file – a file on which action has been completed and to which documents are unlikely to be added.
- A.8. Copy – a reproduction of an original document.
- A.9. Cutoff – a point where a record series is broken into regular segments that can be disposed of as a block.
- A.10. Database – a digital file that stores structured data.
- A.11. Disposal – the definitive obliteration of a record beyond any possible reconstitution.
- A.12. Disposal Notice – a formal notification of the scheduled disposal of records.
- A.13. Disposition – a final administration action taken with regard to records, including disposal, transfer to another entity, or permanent preservation.
- A.14. Fax – an electronic means for transmitting an exact reproduction of an image using communications lines.
- A.15. File – a group of documents in any format or media related by subject, activity, or transaction, often handled as a unit.
- A.16. File Guide – a separation device that denotes a section of a file and directs the user to that section quickly.

A.17. File Maintenance – the activity of preserving the integrity and/or maintaining the currency of a file by reviewing, deleting duplicates, and/or adding information.

A.18. File Name – the name given to a group or series of related documents contained in a physical file folder.

A.19 – Files Management – a method utilizing the application of records management principles and techniques to organize and maintain documents properly, in order to ensure efficient and economical operations.

A.20. Filing System – the systematic indexing and arrangement of records based on established procedures.

A.21. Holdings – the overall volume and type of records stored in a records center or other repository.

A.22. Inactive Record – a record no longer needed to conduct current business but preserved until it meets the end of its retention period.

A.23. Log – a list, either in electronic or hard-copy format, that is used in posting the sequence of transactions or events.

A.24. Numeric Filing System – any classification system for arranging records that is based on numbers.

A.25. Offsite Storage – a potentially secure location, remote from the primary location, at which inactive or vital records are stored.

A.26. Original Record – a primary or first-generation record or one that is designated as the official record.

A.27. Permanent Record – a record that has been determined to have sufficient historical, administrative, legal, fiscal, or other value to warrant continuing preservation.

A.28. Records Center – an area for lower-cost storage, maintenance, and reference use of semi-active records pending their ultimate disposition.

A.29. Re-file – the process of returning a record to its proper file location.

A.30. Retention Period – the length of time a records must be kept to meet administrative, fiscal, legal, or historical requirements.

A.31. Retention Schedule – a comprehensive list of records series, indicating for each, the length of time it is to be maintained and its disposition.

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A.32. Retrieval – the process of locating and withdrawing a record from a filing system or records center.

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Appendix B – Acronyms

CFR	Code of Federal Regulations
GPR	Goddard Procedural Requirements
NA	National Archives Form
NARA	National Archives and Records Administration
NPD	NASA Policy Directive
NPR	NASA Procedural Requirements
RLO	Records Liaison Officer
RM	Records Manager
SF	Standard Form
WNRC	Washington National Records Center

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CHANGE HISTORY LOG

Revision	Effective Date	Description of Changes
Baseline	06/29/10	Initial Release

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